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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/027,879	12/21/2001	Mary M. Bendik	99-024 CON	1000

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EXAMINER

HUYNH, CONG LAC T

ART UNIT	PAPER NUMBER
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2178

DATE MAILED: 07/07/2003

2

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

10/027,879

Applicant(s)

BENDIK, MARY M.

Examiner

Cong-Lac Huynh

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 21 December 2001.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-26 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-26 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
- Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
- 11) ☐ The proposed drawing correction filed on _____ is: a) ☐ approved b) ☐ disapproved by the Examiner.
- If approved, corrected drawings are required in reply to this Office action.
- 12) ☐ The oath or declaration is objected to by the Examiner.

Priority under 35 U.S.C. §§ 119 and 120

- 13) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. _____.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.
- 14) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. § 119(e) (to a provisional application).
- a) ☐ The translation of the foreign language provisional application has been received.
- 15) ☐ Acknowledgment is made of a claim for domestic priority under 35 U.S.C. §§ 120 and/or 121.

Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☐ Information Disclosure Statement(s) (PTO-1449) Paper No(s) _____.
- 4) ☐ Interview Summary (PTO-413) Paper No(s). _____.
- 5) ☐ Notice of Informal Patent Application (PTO-152)
- 6) ☐ Other: _____.

DETAILED ACTION

1. This action is responsive to communications: application filed on 12/21/01 which is a continuation of the application 09/378,785 filed on 8/23/99, now abandoned.
2. Claims 1-26 are pending in the case. Claims 1, 11, 12, 15, 17, 18, 20, 21 are independent claims.

Priority

3. An application in which the benefits of an earlier application are desired must contain a specific reference to the prior application(s) in the first sentence of the specification of in an application data sheet (37 CFR 1.78(a)(2) and (a)(5)). The specific reference to any prior nonprovisional application must include the relationship (i.e., continuation, divisional, or continuation-in-part) between the applications except when the reference is to a prior application of a CPA assigned the same application number.

Drawings

4. Neither figures 5A nor figure 5B includes the numeric portion 410 and information portions 420 as disclosed in the specification (page 22, lines 10-15).

Specification

5. It is not clear which figure when addressing "see figure 5" (page 22, lines 10-15) since there are figure 5A and figure 5B in the drawings.
6. Portions 410 and 420 are not in figure 5 as disclosed (page 22, lines 10-15).

Claim Rejections - 35 USC § 103

7. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

8. Claims 1-26 are rejected under 35 U.S.C. 103(a) as being unpatentable over Porter et al. (US Pat No. 5,845,067, 12/1/98, filed 9/9/96) in view of Herr-Hoyman et al. (US Pat No. 5,727,156, 3/10/98, filed 4/10/96).

Regarding independent claim 1, Porter discloses:

- creating a document profile that includes fields of attributes of a document (col 3, lines 45-55, col 7, lines 32-36, col 11, lines 11-13, figure 7)

Porter does not explicitly disclose the generating of a unique identifier for the document so that the unique identifier includes at least a first portion describing an attribute of the document and a second portion including an automatically generated number.

Herr-Hoyman discloses:

- generating a unique identifier for the document, the unique identifier including at least a first portion including information descriptive of an attribute of the document and at least a second portion including an automatically generated number (col 3, lines 57-67)

It is noted that the unique ID in Herr-Hoyman is not for a document, but for the web site.

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However, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have modified Herr-Hoyman to create a unique identifier for a document by applying the method of creating a unique identifier for a web site since a web site is also a form of document and any document has a name, which is an identifier for that document among the others. The identifier in Herr-Hoyman which includes a sequence of characters, and possibly including additional digits using the scheme of either sequential numbers or assigned numbers based on time of entry provides a tool for easy recognizing a document.

Also, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have combined Herr-Hoyman to Porter. Herr-Hoyman discloses the package of HTML files and variables. Said variables are actually the attributes of the web site and are correspondent to the attributes of a document in the document profile taught by Porter.

Regarding claim 2, which is dependent on claim 1, Porter does not disclose that the first portion of the document identifier is descriptive of the author of the document.

Herr-Hoyman discloses that the unique ID includes a short sequence of characters related to a company name (col 3, lines 58-62), which is an attribute of the web site.

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have modified Herr-Hoyman to include the author of the document, which is also an attribute of the document, to the document identifier, and have combined with Porter to obtain the document identifier as claimed.

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Regarding claims 3 and 4, which is dependent on claims 1 and 2 respectively, as disclosed in claim 1, Herr-Hoyman provides the sequential numbers in addition to the sequence of characters to ensure that the generated unique ID is unique (col 3, lines 57-65).

Regarding claim 5, Porter discloses that when a new document is entered into the document management system, the document content and the document profile are indexed (col 11, lines 16-22) for the purpose of criteria searching. The document identifier, therefore, is generated from the beginning before the document is entered (col 11, lines 16-51).

Also, Herr-Hoyman discloses that the first step when creating the web pages, the author of the web pages enter company data, which is an attribute of a web page and is an element to generate the unique ID (col 3, lines 50-65).

Regarding claim 6, which is dependent on claim 1, Porter does not disclose explicitly the selecting of a predefined document template for the document during creation of the document profile, and the document template defining the format of the document. Instead, Porter discloses the file room, the file tray and the briefing book in the interface that allow a user to select one of these to get a different format of a document (col 12, lines 4-67, figure 11A).

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It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have modified Porter to include predetermined document template since the file tray and the briefing book defining different formats of documents.

Regarding claim 7, which is dependent on claim 1, Porter does not explicitly disclose the linking of the document profile to a file type that is not created within the document management system.

Instead Porter discloses that the document profile may further contain the category of "related to" which represents other documents pointing to this document (col 7, lines 63-67).

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have applied this feature of Porter. The "related to" documents in Porter show that there is a linking of the document profile to other documents which have a different file type.

Regarding claim 8, which is dependent on claim 1, Porter discloses the creating of an email message including a link to document profile so that the recipient of the message can access the document associated with the document profile (col 3, lines 35-55).

Regarding claim 9, which is dependent on claim 1, Porter discloses that the email message including a copy of the document from within the document management

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system so that the recipient of the message can access the copy of the document (figure 8A, col 16, lines 59-65).

Regarding claim 10, which is dependent on claim 1, Porter discloses the defining of user access permission in the document profile, wherein the step of defining user access permission includes the step of acquiring the identity of the user from a source external to the document management system (col 8, lines 10-34, col 13, lines 45-61).

Independent claim 11 includes the limitations of claims 1 and 6, and therefore is rejected under the same rationale.

Independent claim 12 includes the limitations of claims 1 and 7, and therefore is rejected under the same rationale.

Regarding claim 13, which is dependent on claim 12, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have recognized that the file type is a word processing document as in Porter (figure 7, col 7, lines 29-31).

Regarding claim 14, which is dependent on claim 12, Porter discloses the file type is an email record (col 3, lines 35-50).

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Independent claim 15 and claim 16 include the limitations of claims 1, 7 and 8, and therefore is rejected under the same rationale.

Independent claim 17 includes the limitations of claims 1 and 9, and therefore is rejected under the same rationale.

Independent claim 18 includes the limitations of claim 10, and therefore is rejected under the same rationale.

It would have been obvious to one of ordinary skill in the art at the time of the invention was made to have recognized that the step of storing of the document profile in the system can not be missed in document processing.

Regarding claim 19, which is dependent on claim 18, Porter discloses that the source of identity of the user is an operating system security system or a database security system (col 14, lines 10-18).

Independent claim 20 includes the limitations of claims 1 and 10, and therefore is rejected under the same rationale.

In addition, it would have been obvious to one of ordinary skill in the art at the time of the invention was made to have recognized that the step of storing of the document profile in the system, and the step of replicating of the document content from the first

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storage device to a second storage device are conventional in any document processing.

Claims 21-26 are for the document management system of method claims 1, 6-10, and therefore are rejected under the same rationale.

Conclusion

9. The prior art made of record and not relied upon is considered pertinent to applicant's disclosure.

Ando (US Pat No. 5,752,020, 5/12/98, filed 1/23/97, priority 8/24/94).

Kelly et al. (US Pat No. 5,173,853, 12/22/92, filed 3/14/91).

Mahoney et al. (US Pat No. 5,999,664, 12/7/99, filed 11/14/97).

Ferrel et al. (US Pat No. 6,199,082 B1, 3/6/01, filed 7/17/95).

Lee et al., Querying Structured Hyperdocuments, IEEE 1/96, pages 155-164.

Gershon, Moving Happily through the World Wide Web, IEEE 3/96, pages 72-75.

Hill, A Perspective: the Role of Identifiers in Managing and Protecting Intellectual Property in the Digital Age.

Gladney, Access Control for Large Collections, ACM 4/97, pages 154-194.

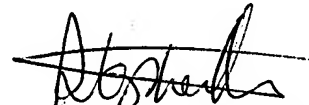
10. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Cong-Lac Huynh whose telephone number is 703-305-0432. The examiner can normally be reached on Mon-Fri (8:30-6:00).

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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Heather Herndon can be reached on 703-308-5186. The fax phone numbers for the organization where this application or proceeding is assigned are 703-746-7239 for regular communications and 707-746-7238 for After Final communications.

Any inquiry of a general nature or relating to the status of this application or proceeding should be directed to the receptionist whose telephone number is 703-305-9000.

clh
June 23, 2003


STEPHEN S. HONG
PRIMARY EXAMINER